| SEC Form 4 | ŀ |
|------------|---|
|------------|---|

## FORM 4

# UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

Check this box if no longer subject to Section 16. Form 4 or Form 5 obligations may continue. See Instruction 1(b).

### STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP

Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934 or Section 30(h) of the Investment Company Act of 1940

| OMB APPROVAL             |           |  |  |  |  |  |  |  |  |
|--------------------------|-----------|--|--|--|--|--|--|--|--|
| OMB Number:              | 3235-0287 |  |  |  |  |  |  |  |  |
| Estimated average burden |           |  |  |  |  |  |  |  |  |
| hours per response.      | 0.5       |  |  |  |  |  |  |  |  |

| 1. Name and Address of Reporting Person* |            | Person*           | 2. Issuer Name <b>and</b> Ticker or Trading Symbol<br>Goosehead Insurance, Inc. [GSHD] | 5. Relationship of Reporting Person(s) to Issuer<br>(Check all applicable) |                              |          |                       |  |  |
|--|------------|-------------------|--|--|------------------------------|----------|-----------------------|--|--|
| <u>Jones Mark Evan</u>                   |            |                   |  | X  | Director                     | Х        | 10% Owner             |  |  |
| (Last) (First) (Middle)                  |            | (Middle)          | 3. Date of Earliest Transaction (Month/Day/Year)                                       | - x  | Officer (give title below)   | Х        | Other (specify below) |  |  |
| C/O GOOSEHEAD INSURANCE, INC.            |            | ANCE, INC.        | 12/11/2018   | CEO / Member of 10% owner group  |                              |          |                       |  |  |
| 1500 SOLANA                              | BLVD., BUI | LDING 4, STE 4500 |  |  |                              |          |                       |  |  |
| (Street)                                 |            |                   | - 4. If Amendment, Date of Original Filed (Month/Day/Year)                             | 6. Indi<br>Line)   | vidual or Joint/Group        | -iling ( | Check Applicable      |  |  |
| WESTLAKE                                 | ТХ         | 76262             |  | X  | Form filed by One            | Report   | ing Person            |  |  |
|  |            |                   | -  |  | Form filed by More<br>Person | than (   | One Reporting         |  |  |
| (City)                                   | (State)    | (Zip)             |  | 1  |                              |          |                       |  |  |

#### Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned

| Table 1 - Non-Derivative Securities Acquired, Disposed 01, or Benencially Owned |  |   |   |   |                              |                        |                            |   |   |  |  |  |
|---|--|---|---|---|------------------------------|------------------------|----------------------------|---|---|--|--|--|
| 1. Title of Security (Instr. 3)   | 2. Transaction<br>Date<br>(Month/Day/Year) | 2A. Deemed<br>Execution Date,<br>if any<br>(Month/Day/Year) | 3.<br>Transaction<br>Code (Instr.<br>8) |   | 4. Securities<br>Disposed Of | Acquire<br>f (D) (Inst | d (A) or<br>r. 3, 4 and 5) | 5. Amount of<br>Securities<br>Beneficially<br>Owned Following<br>Reported | 6. Ownership<br>Form: Direct<br>(D) or Indirect<br>(I) (Instr. 4) | 7. Nature of<br>Indirect<br>Beneficial<br>Ownership        |  |  |
|   |  |   | Code                                    | v | Amount                       | (A) or<br>(D)          | Price                      | Transaction(s)<br>(Instr. 3 and 4)  |   | (Instr. 4)   |  |  |
| Class B Common Stock  | 12/11/2018                                 |   | С                                       |   | 9,044                        | D                      | \$0                        | 15,163,178  | I   | By Trust <sup>(1)</sup>                                    |  |  |
| Class A Common Stock  | 12/11/2018                                 |   | С                                       |   | 9,044                        | A                      | \$0                        | 1,757,325   | I   | By Mark<br>and Robyn<br>Jones<br>Descendants<br>Trust 2014 |  |  |
| Class A Common Stock  | 12/11/2018                                 |   | s                                       |   | 9,044                        | D                      | \$27.0145 <sup>(2)</sup>   | 1,748,281   | I   | By Mark<br>and Robyn<br>Jones<br>Descendants<br>Trust 2014 |  |  |
| Class B Common Stock <sup>(3)(4)</sup>  |  |   |   |   |                              |                        |                            | 182,349   | D   |  |  |  |
| Class A Common Stock <sup>(4)</sup>   |  |   |   |   |                              |                        |                            | 749,317   | D   |  |  |  |

## Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities)

| 1   | (cigi, puis, variants, options, convertible securities)               |  |   |                              |   |      |       |  |                    |   |                                     |   |  |  |  |
|---|---|--|---|------------------------------|---|------|-------|--|--------------------|---|-------------------------------------|---|--|--|--|
| 1. Title of<br>Derivative<br>Security<br>(Instr. 3)                 | 2.<br>Conversion<br>or Exercise<br>Price of<br>Derivative<br>Security | 3. Transaction<br>Date<br>(Month/Day/Year) | 3A. Deemed<br>Execution Date,<br>if any<br>(Month/Day/Year) | 4.<br>Transa<br>Code (<br>8) |   | of E |       | 6. Date Exercisable and<br>Expiration Date<br>(Month/Day/Year) |                    | e and 7. Title and Amount<br>of Securities<br>Underlying<br>Derivative Security<br>(Instr. 3 and 4) |                                     | 8. Price of<br>Derivative<br>Security<br>(Instr. 5) | 9. Number of<br>derivative<br>Securities<br>Beneficially<br>Owned<br>Following<br>Reported<br>Transaction(s)<br>(Instr. 4) | 10.<br>Ownership<br>Form:<br>Direct (D)<br>or Indirect<br>(I) (Instr. 4) | 11. Nature<br>of Indirect<br>Beneficial<br>Ownership<br>(Instr. 4) |
|   |   |  |   | Code                         | v | (A)  | (D)   | Date<br>Exercisable  | Expiration<br>Date | Title   | Amount<br>or<br>Number<br>of Shares |   |  |  |  |
| LLC Units<br>in<br>Goosehead<br>Financial,<br>LLC                   | \$0.0   | 12/11/2018                                 |   | С                            |   |      | 9,044 | (5)  | (5)                | Class A<br>Common<br>Stock  | 9,044                               | \$0   | 15,163,178   | Ι  | By Trust <sup>(1)</sup>  |
| LLC Units<br>in<br>Goosehead<br>Financial,<br>LLC <sup>(3)(4)</sup> | \$0.0   |  |   |                              |   |      |       | (5)  | (5)                | Class A<br>Common<br>Stock  | 182,349                             |   | 182,349  | D  |  |

#### Explanation of Responses:

1. Reflects shares of Class A Common Stock, shares of Class B Common Stock or LLC Units, as applicable, held in trust for which the reporting person serves as a trustee and of which immediate family members of the reporting person are beneficiaries.

2. The price reported in Column 4 is a weighted average price. These shares were sold in multiple transactions at prices ranging from \$27.08, inclusive. The reporting person undertakes to provide to the issuer, any security holder of the issuer, or the staff of the Securities and Exchange Commission, upon request, full information regarding the number of shares sold at each separate price within the range set forth in this footnote to this Form 4.

3. Includes 10,716 shares of Class B Common Stock or LLC Units, as applicable, as a pro rata distribution from Texas Wasatch Insurance Partners, LP.

4. This does not reflect shares directly held by the reporting person's spouse, who is independently a reporting person of the issuer.

5. Each LLC Unit, together with a share of Class B common stock, may be converted by the holder into one share of Class A common stock at any time. The LLC Units do not expire.

### Remarks:

The sales reported were effected pursuant to a Rule 10b5-1 trading plan adopted by the Mark and Robyn Jones Descendants Trust 2014.



### <u>Attorney-in-Fact for Mark</u> <u>Evan Jones</u>

\*\* Signature of Reporting Person Date

Reminder: Report on a separate line for each class of securities beneficially owned directly or indirectly.

 $^{\star}$  If the form is filed by more than one reporting person, see Instruction 4 (b)(v).

\*\* Intentional misstatements or omissions of facts constitute Federal Criminal Violations See 18 U.S.C. 1001 and 15 U.S.C. 78ff(a).

Note: File three copies of this Form, one of which must be manually signed. If space is insufficient, see Instruction 6 for procedure.

Persons who respond to the collection of information contained in this form are not required to respond unless the form displays a currently valid OMB Number.